



Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/656,797		
		Filing Date	September 4, 2003		
		First Named Inventor	STARKSEN, NIEL F.		
		Art Unit	Unassigned		
		Examiner Name	Unassigned		
Sheet	1	of	3	Attorney Docket Number	016886-001300US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MTA	1	US-4,014,492	03-24-1977	Rothfuss	
	2	US-4,042,979	08-23-1977	Angell	
	3	US-4,043,504	08-23-1977	Hueil et al.	
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	5	US-4,700,250	10-13-1987	Kuriyama	
	6	US-5,366,479	11-22-1994	McGarry et al.	
	7	US-5,450,860	09-19-1995	O'Connor	
	8	US-5,571,215	11-05-1996	Sterman et al.	
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	10	US-5,709,695	01-20-1998	Northrup, III	
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	17	US-6,165,183	12-26-2000	Kuehn et al.	
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	20	US-6,260,552	07-17-2001	Mortier et al.	
	21	US-6,269,819	08-07-2001	Oz et al.	
	22	US-6,283,993	09-04-2001	Cosgrove et al.	
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	24	US-6,332,893	12-25-2001	Mortier, I et al.	
	25	US-6,524,338	02-25-2003	Gundry	
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	31	US-2002/0042621	04-11-2002	Liddicoat et al.	
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	34	US-2002/0156526	10-24-2004	Hlavka et al.	
	35	US-2002/0161378 A1	10-31-2002	Downing	
	36	US-2002/0173841	11-21-2002	Ortiz et al.	
	37	US-2003/0074012	04-17-2003	Nguyen et al.	

Examiner Signature	<i>MT Anderson</i>	Date Considered	8/21/2006
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		Art Unit	Unassigned		
		Examiner Name	Unassigned		
Sheet	3	of	3	Attorney Docket Number	016886-001300US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	39	DE SIMONE et al. Adjustable tricuspid valve annuloplasty assisted by intraoperative transesophageal color Doppler echocardiography, Am. J Cardiol 73:721-722 (April 1993)	
1	40	DOWNING et al. Feasibility of Off-Pump ASD Closure Using Real-Time 3-D Echocardiography, Heart Surgery Forum, Abstract 7025 (June 2001)	

Examiner Signature	MT Andersen	Date Considered	8/21/2006
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	10/656,797	
			Filing Date	September 4, 2003	
			First Named Inventor	Niel F. Starksen	
			Group Art Unit	3732	
			Examiner Name	Unassigned	
Sheet	1	of	3	Attorney Docket Number	GDS 1013-1

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
MTA	A1	5,522,873		Jackman et al.	06-04-1996	
	A2	5,716,370		Williamson, IV et al.	02-10-1998	
	A3	5,769,812		Stevens et al.	06-23-1998	
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	A15	6,626,899		Houser et al.	09-30-2003	
	A16	6,629,534		St. Goar et al.	10-07-2003	Figs 78-82; 39/41-40/18
	A17	6,641,593		Schaller et al.	11-04-2003	
	A18	6,702,826		Liddicoat et al.	03-09-2004	
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Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
MTA	B1	WO	94/03227		C. Stefanadis	02-17-1994		
	B2	WO	98/07375		Trustees of Columbia U.	02-26-1998		
	B3	WO	02/03892		Paul A. Spence	01-17-2002		
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	B6							
	B7							
	B8							
	B9							
	B10							

Examiner Signature	<i>M T Anderson</i>	Date Considered	8/21/2006
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First Named Inventor	Niel F. Starksen			
Group Art Unit	3732			
Examiner Name	Unassigned			
Attorney Docket Number	GDS 1013-1			
Sheet	2	of	3	

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		Number	Kind Code ² (if known)			
MTA	A21	2002/0095167		Liddicoat et al.	07-18-2002	
	A22	2002/0161378		Downing	10-31-2002	
	A23	2002/0173841		Ortiz et al.	11-21-2002	
	A24	2003/0074012		Nguyen et al.	04-17-2003	
	A25	2003/0078603		Schaller et al.	04-24-2003	
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	A28	2003/0199974		Lee et al.	10-23-2003	
	A29	2004/0019378		Hlavka et al.	01-29-2004	
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		Office ³	Number ⁴	Kind Code ⁵ (If known)				
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	B12							
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	B20							

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<i>MT Anderson</i>	8/21/2006

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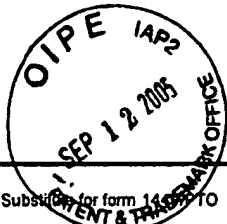
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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ALTERNATIVE TO PTO/SB/08a/b (07-05)

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			Application Number	10/656,797	
			Filing Date	September 4, 2003	
			First Named Inventor	Niel F. STARKSEN	
			Art Unit	3731	
Examiner Name	G. Jackson				
Attorney Docket Number	578492001500				
Sheet	1	of	2		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
MTA	1.	US-2002/0087048-A1		07-04-2002	Brock et al.	
	2.	US-2002/0087049-A1		07-04-2002	Brock et al.	
	3.	US-2002/0087148-A1		07-04-2002	Brock et al.	
	4.	US-2002/0095175-A1		07-18-2002	Brock et al.	
	5.	US-2002/0138044-A1		09-26-2002	Streeter et al.	
	6.	US-2003/0018358-A1		01-23-2003	Saadat	
	7.	US-2003/0069593-A1		04-10-2003	Tremulis et al.	
	8.	US-2003/0078465-A1		04-24-2003	Pai et al.	
	9.	US-2003/0220685-A1		11-27-2003	Hlavka et al.	
	10.	US-2003/0233142-A1		12-18-2003	Morales et al.	
	11.	US-2004/0003819-A1		01-08-2004	St. Goar et al.	
	12.	US-2004/0030382-A1		02-12-2004	St. Goar et al.	
	13.	US-2004/0039442-A1		02-26-2004	St. Goar et al.	
	14.	US-2004/0193191-A1		09-30-2004	Starksen et al.	
	15.	US-2004/0243227-A1		12-02-2004	Starksen et al.	
	16.	US-2005/0065550-A1		03-24-2005	Starksen et al.	
	17.	US-2005/0107810-A1		05-19-2005	Morales et al.	
	18.	US-2005/0107811-A1		05-19-2005	Starksen et al.	
	19.	US-2005/0107812-A1		05-19-2005	Starksen et al.	
	20.	US-2005/0119523-A1		06-02-2005	Starksen et al.	
	21.	US-5,242,456-A		09-07-1993	Nash et al.	
	22.	US-5,257,975-A		11-02-1993	Foshee	
	23.	US-5,725,542-A		03-10-1998	Yoon	
	24.	US-5,989,284-A		11-23-1999	Laufer	
	25.	US-6,010,531-A		01-04-2000	Donlon et al.	
	26.	US-6,355,030-B1		03-12-2002	Aldrich et al.	
	27.	US-6,602,289-B1		08-05-2003	Colvin et al.	
	28.	US-6,651,671-B1		11-25-2003	Donlon et al.	
	29.	US-6,689,164-B1		02-10-2004	Sequin	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	† ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)					
MTA	30.	WO-00/60995-A2, A3		10-19-2000	Evalve, Inc.		
	31.	WO-00/67640-A2, A3		11-16-2000	Brock Rogers Surgical, Inc.		
	32.	WO-02/051329-A1		07-04-2002	Brock Rogers Surgical, Inc.		
	33.	WO-03/105670-A2, A3		12-25-2003	Guided Delivery Systems, Inc.		
	34.	WO-2005/025644-A2		03-24-2005	Guided Delivery Systems, Inc.		

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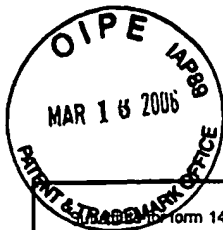
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				Examiner Name	G. Jackson
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Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	35.	De Simone, R. et al. (April 15, 1993). "Adjustable Tricuspid Valve Annuloplasty Assisted by Intraoperative Transesophageal Color Doppler Echocardiography," <i>Am. J. Cardiol.</i> 71(11):926-931.	
	36.	De Simone, R. et al. (April 1, 1994). "Adjustable Annuloplasty for Tricuspid Insufficiency with External Control," <i>Reader's Comments and Reply, Am. J. Cardiol.</i> 73(9):721-722.	

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				Art Unit	3731
				Examiner Name	G. Jackson
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MTA	1.	US-2003/0033006-A1	02-13-2003	Phillips et al.	
	2.	US-2003/0167071-A1	09-04-2003	Martin et al.	
	3.	US-2005/0080454-A1	04-14-2005	Drews et al.	
	4.	US-2005/0216078-A1	09-29-2005	Starksen et al.	
	5.	US-2005/0251157-A1	11-10-2005	Saadat et al.	
	6.	US-2005/0251159-A1	11-10-2005	Ewers et al.	
	7.	US-2005/0251166-A1	11-10-2005	Vaughan et al.	
	8.	US-2005/0251177-A1	11-10-2005	Saadat et al.	
	9.	US-2005/0251205-A1	11-10-2005	Ewers et al.	
	10.	US-2005/0251207-A1	11-10-2005	Flores et al.	
	11.	US-2005/0251208-A1	11-10-2005	Elmer et al.	
	12.	US-2005/0251209-A1	11-10-2005	Saadat et al.	
	13.	US-2005/0251210-A1	11-10-2005	Westra et al.	
	14.	US-2005/0273138-A1	12-08-2005	To et al.	
	15.	US-2005/0277966-A1	12-15-2005	Ewers et al.	
	16.	US-2005/0277981-A1	12-15-2005	Maahs et al.	
	17.	US-2005/0277983-A1	12-15-2005	Saadat et al.	
	18.	US-2006/0025750-A1	02-02-2006	Starksen et al.	
	19.	US-2006/0025784-A1	02-02-2006	Starksen et al.	
	20.	US-2006/0025787-A1	02-02-2006	Morales et al.	
	21.	US-5,520,702-A	05-28-1996	Sauer et al.	
	22.	US-5,643,289-A	07-01-1997	Sauer et al.	
	23.	US-6,099,553-A	08-08-2000	Hart et al.	
	24.	US-6,409,743-B1	06-25-2002	Fenton, Jr.	
	25.	US-6,423,088-B1	07-23-2002	Fenton, Jr.	
	26.	US-6,575,971-B2	06-10-2003	Hauck et al.	
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	28.	US-6,991,643-B2	01-31-2006	Saadat	

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Examiner Signature	<i>MT Anderson</i>	Date Considered	8/21/06
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